

**Job Training Partnership Act  
Job Training Plan and Substate Plan**

**Handbook of Instructions  
for Program Years 1998 and 1999**

**Prepared by  
Employment Development Department  
Job Training Partnership Division**

**February 1998**

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# GENERAL PLANNING INSTRUCTIONS

## A. Introduction

Section 628.420 of the Job Training Partnership Act (JTPA) Final Rule, requires the Governor to issue instructions and schedules to assure that Job Training Plans and plan modifications conform to all requirements of the JTPA. The Final Rule, in Section 628.425(a), further requires the Governor to establish standards and procedures for the review and approval or disapproval of the Service Delivery Area (SDA) Job Training Plan at the same time as the instructions and schedules for preparing the plan are issued. The Family Economic Security Act (FESA), which is Division 8 of the California Unemployment Insurance Code (CUIC), establishes further requirements for Job Training Plans.

The plan has four major sections each representing major plan components. Part I contains general planning elements that apply to JTPA Titles I, II, and III; Part II covers the narrative planning requirements for Titles II and III; Part III includes the budget and participant data elements for Titles II and III; and Part IV contains attachments. In order to simplify the preparation, the narrative section contains many preprinted assurances and certifications to which the Private Industry Council (PIC) and the Chief Elected Official (CEO) will attest. The data section contains fund transfer information, budget summaries and participant plan summaries for Titles II and III programs that are funded. In order to simplify completion, some funding identification and years of appropriation have been pre-entered. Data forms have been developed in Excel and formulas have been inserted for convenience.

The JTPA Section 105 requires that the Job Training Plan, or a summary of the plan, be published at least 120 days (March 2, 1998) before the start of the program year.

A hearing on the plan is required and PICs and CEOs must respond to comments received. Final plans must be published 80 days (April 13, 1998) before the start of the program year; the deadline for submitting the final plan to the state is May 4, 1998.

A listing of acronyms and terms used in the instructions is included in the Appendix.

## B. General Planning

To begin preparation of the Job Training Plan, you need copies of the JTPA as amended; the Final Rule and FESA as amended. You will also need the Governor's Coordination and Special Services Plan (GCSSP) Coordination Criteria and Governor's Annual Goal and Objectives. These are included in the instructions. You may also need to review various JTPA Directives and Information Bulletins.

To help you schedule planning activities, the timetable on the following page shows the deadlines by which certain planning related activities must be completed and by whom. In addition, it identifies whether the planning deadlines apply to the initial submission of the plan only, or to the plan modifications, as well. The parenthetical statements following the specific initial plan date are the mandated deadline and/or guidelines for plan modifications.

## 1. Planning Timetable and Schedule

DATE	ACTION	ENTITY	APPLIES TO:	
			Initial Plan	Plan Mod.
<b>March 2, 1998</b> (120 days before start of PY)	• Publish plan or summary	PIC/CEO	x	
	• Submit plan for review and comment to State Senate and State Assembly; community based organizations; local education agencies; other appropriate public agencies in SDA; and appropriate labor organizations	PIC/CEO	x	
	• Announce availability of plan to general public	PIC/CEO	x	
<b>Ten Days Before Hearing</b>	• Announce public hearing on plan	PIC	x	
<b>Between March 2, 1998 and April 13, 1998</b>	• Hold public hearing on plan (ten day notice, above)	PIC	x	
<b>April 13, 1998</b> (for modifications, 80 days before effective date)	• Publish final plan or summary of plan	PIC/CEO	x	x
<b>May 4, 1998</b> (for modifications, 60 days before effective date)	• Submit final plan to the Governor	PIC/CEO	x	x
<b>June 1, 1998</b>  (for modifications, within 30 days of modification submission)	• Certify Plans as consistent with GCSSP	SJTCC	x	
	• Approve or disapprove Job Training Plan	Governor	x	x
	• Notify CEO and PIC of plan approval or disapproval	Governor	x	x
<b>June 22, 1998</b> (for modifications, within 20 days of disapproval)	• If plan disapproved, correct deficiencies and resubmit plan to Governor	PIC/CEO	x	x

<b>June 30, 1998</b> (for modifications, within 15 days of modification resubmission)	<ul style="list-style-type: none"> <li>Make final decision on plan approval or disapproval of plans needing corrections of deficiencies, and notify PIC and CEO</li> </ul>	Governor	x	x
<b>July 30, 1998</b> (for modifications, within 30 days of disapproval)	<ul style="list-style-type: none"> <li>Appeal Governor's decision to disapprove plan to Secretary of Labor</li> </ul>	PIC/CEO	x	x
<b>September 15, 1998</b> (for modifications, within 45 days of appeal)	<ul style="list-style-type: none"> <li>Make final decision about plan approval or disapproval and notify Governor and appellant in writing</li> </ul>	Secretary of Labor	x	x

If an interested party appeals the Governor to disapprove a plan, the following timetable and schedule would apply.

## 2. Planning Schedule If Interested Party Appeals

DATE	ACTION	ENTITY	APPLIES TO:	
			Initial Plan	Plan Mod.
<b>May 15, 1998</b> (for modifications, within 15 days of modification submission)	<ul style="list-style-type: none"> <li>Petition Governor to disapprove Job Training Plan</li> </ul>	Interested Party	x	x
<b>June 1, 1998</b>  (for modifications, within 45 days of modification submission)	<ul style="list-style-type: none"> <li>Approve or disapprove Job Training Plan when a petition to disapprove has been filed</li> </ul>	Governor	x	x
	<ul style="list-style-type: none"> <li>Notify CEO and PIC of plan approval or disapproval</li> </ul>	Governor	x	x
	<ul style="list-style-type: none"> <li>Notify petitioner of plan approval or disapproval</li> </ul>	Governor	x	x
<b>June 22, 1998</b> (for modifications, within 20 days of disapproval)	<ul style="list-style-type: none"> <li>Resubmit plan to Governor to satisfy objections of petitioner</li> </ul>	PIC/CEO	x	x

<b>June 30, 1998</b> (for modifications, within 15 days of modification resubmission)	<ul style="list-style-type: none"> <li>Make final determination about plan approval</li> </ul>	Governor	x	x
<b>July 30, 1998</b> (for modifications, within 30 days of disapproval)	<ul style="list-style-type: none"> <li>Appeal Governor's decision to Secretary of Labor if plan is disapproved</li> </ul>	PIC/CEO	x	x
<b>September 15, 1998</b> (for modifications, within 45 days of appeal)	<ul style="list-style-type: none"> <li>Make final decision about plan approval or disapproval and notify Governor and appellant in writing</li> </ul>	Secretary of Labor	x	x

## C. Plan Structure

### 1. General

The Job Training Plan is comprised of six parts:

- Part I — Cover Pages
- Part II — General Planning Requirements
- Part III — Title II Job Training Plan Narrative Planning Requirements
- Part IV — Title III Substate Plan Narrative Planning Requirements
- Part V — Titles II and III Budget and Participant Data Requirements
- Part VI — Attachments

The first four parts follow a similar format. This is:

- Plan Element:** Each section starts with the plan element quoted from the appropriate source, e.g., JTPA, CUIC, or the Code of Federal Regulations (CFR). The plan element only quotes the primary requirement, so if JTPA and CUIC requirements are the same or similar, only JTPA is quoted. If the plan requirement originates in the Federal Regulations, or in the CUIC, that source is quoted. Secondary elements in related areas are not quoted.
- References:** All related references which address planning requirements or elements are included in this subpart. References include JTPA, CUIC, CFR, JTPA Directives and Information Bulletins and other pertinent references. The SDAs may want to review the stated references for more information and background to help with plan development.
- Background:** The background section provides pertinent information about each planning element.
- Instructions:** The instructions provides specific, and, where appropriate, line item instructions, for completing each section of the plan.

## 2. Page Headers:

Each section of the plan is identified by a page header as shown in the following example:

<input checked="checked" type="checkbox"/> Initial Plan for PYs 1998 and 1999	
<input type="checkbox"/> Adjustment # _____	SDA/SSA: _____
<input type="checkbox"/> Modification # _____	Date: _____

Complete the header for each section by checking the appropriate box to indicate whether the submittal is the initial plan, an adjustment, or a modification (for adjustments and modifications, indicate the appropriate number).

## 3. Additional Pages:

If necessary, attach as many additional pages to each section as necessary. Continue numbering these pages following the last prenumbered page. For example, if the additional pages follow page 10, these pages should be numbered 10a, 10b, etc.

## D. Plan Modifications and Adjustments

The Job Training Plan (Title II) and the Substate Plan (Title III) are both fluid documents which must be updated as needed to reflect changes required by both internal customers (SDA partners, organizations, and residents) and external customers (the state and the Department of Labor). During the two-year plan period, the state may provide information to SDAs which directly affects the plan, e.g., SDAs may be notified of a new or increased funding allotment. In these cases, it is the state's responsibility to determine how this information is to be incorporated in the plan and to notify SDAs of this determination. In all other cases, SDAs must use the criteria detailed in this section, in conjunction with available SDA management information, to determine the need and method for plan change(s).

Changes are incorporated into the plans only by plan modification or adjustment. The significance of the change (major or minor) determines the method used to implement the plan change. Major changes must be incorporated using a plan modification, while minor changes to the plans are accomplished using a plan adjustment. Additionally, the level of review needed prior to submittal of a plan change will vary depending on the type of change, i.e., review/comment by local interested parties, PIC and SDA administrative entity concurrence, or simply SDA administrative entity review.

Modifications and adjustments may be submitted at any time during the program year. The information detailed in the remainder of this section is to be used to determine the appropriate method to incorporate needed changes into the two-year plan for situations where specific instructions are not already provided by the state.

Four copies of each proposed modification or adjustment must be submitted to the state at one of the appropriate addresses provided in item F, depending on whether the copies are mailed or delivered in person. Original signatures from the authorized SDA

representative(s) must appear on at least two of the copies. Each modification or adjustment submittal must include the appropriate transmittal cover document (plan cover documents for modification, appropriate transmittal form for adjustments) accompanied by each page or form revised as a result of the modification/adjustment. Each plan page must contain the correct header information (see blank example found in item C) to clearly identify the plan element, modification/adjustment number, and effective date. Sequentially number each modification or adjustment by type of change and maintain a series of numbers for each., i.e., the first modification will be modification number one and the first adjustment will be adjustment number one.

## **1. Plan Modifications**

A modification to a Job Training Plan is required when a substantial deviation or significant change from an approved Job Training Plan occurs. Modifications shall be published no later than 80 days before they are effective consistent with the applicable time frames detailed previously in item B of this section, and the general publication and submittal requirements detailed below in items E and F. Proposed modifications shall be jointly approved and jointly submitted to the state by the SDA's PIC and CEO for approval.

Modifications must be received by the state no later than 60 days before they are effective. Each modification submittal must include a separate signature page and a Table of Contents (see plan cover page forms) identifying the revised plan element(s) and accompanied by each revised page or form resulting from the modification. Within 30 days of submission, the SDA will be notified in writing of the modification's status, i.e., whether it is approved, disapproved, or needs further clarification. The review standards referenced in item G of this section will determine whether the modification can be approved. If further clarification is needed, the SDA will have 30 calendar days to revise the modification and resubmit it to the state.

Plan modification is required for any of the following:

- Change in the entity that will administer the program.
- Change in the grant recipient.
- Incorporating the dollar specific new funding allocated for the second program year of the two-year planning period in all fund sources only if the percentage distribution of planned expenditures in the second year changes by more than 10 percent from the initial plan submittal. (If the change is 10 percent or less (increase/decrease) only a plan adjustment is required.)
- Eliminating planned services that will result in a 20 percent or more decrease in the total number of participants planned to be served in any JTPA program category (i.e., Title II-A 77 Percent; 5 Percent Older Individuals; 5 Percent Incentive Awards, Title II-B; Title II-C; Title III).
- Decreasing by 20 percent or more total funding available in any JTPA program category (i.e., Title II-A 77 Percent; 5 Percent Older Individuals; 5 Percent Incentive Awards, Title II-B; Title II-C; Title III).

- Decreasing by 20 percent or more, goals for serving and placing the hard-to-serve, including decreases in service levels to CalWORKs participants.
- Decreasing by 20 percent or more, goals for training and placing of women in nontraditional employment.
- Decreasing by 20 percent or more, total planned expenditure levels in any JTPA program category (i.e., Title II-A 77 Percent; 5 Percent Older Individuals; 5 Percent Incentive Awards, Title II-B; Title II-C; Title III).
- Decreasing by 20 percent or more, planned total participant outcomes in any JTPA program category (i.e., Title II-A 77 Percent; 5 Percent Older Individuals; 5 Percent Incentive Awards, Title II-B; Title II-C; Title III).
- Any other substantial deviation or significant change from an approved Job Training Plan which requires local public review/comment and joint approval/submittal by the SDA's PIC and CEO.

## 2. Plan Adjustments

All plan changes not meeting the criteria above for designation as a modification can be incorporated into the plan using a plan adjustment. The adjustment process is used when changes to the Job Training Plan are necessary but are not a substantial change or deviation from the existing Job Training Plan. Adjustments are not required to be published prior to submission to the state for approval. Although review and consultation with local partners is not required, you are strongly encouraged to confer with any affected customers to ensure that the proposed change(s) is consistent with local employment and training needs.

As stated previously, adjustments are considered minor changes. Accordingly, adjustments shall be considered approved 30 days after receipt is acknowledged by the state unless the SDA is notified during the 30-day post-receipt period that additional or corrected information is required. Acknowledgment that a plan adjustment has been received by the state will be sent to SDAs.

Adjustments must be submitted at least 30 days in advance of the effective date of the proposed change(s) to accommodate the 30-day review period. Each adjustment must include the appropriate cover document (see plan cover page forms) identifying the revised plan element(s), accompanied by each page or form revised as a result of the adjustment.

There are two types of adjustments. Certain adjustments may only be submitted after the SDA has obtained PIC concurrence. Others may be submitted at the sole discretion of the SDA administrative entity responsible for administering the Job Training Plan, without concurrence from the PIC or other local partners.

The first type is a plan adjustment requiring PIC concurrence, which must include an assurance that this concurrence has been obtained (see the Plan Adjustment Submittal - PIC Concurrence cover form). These plan adjustments are limited to the following:

- Incorporating the dollar-specific new funding allocated for the second program year of the two-year planning period in all fund sources only if the percentage distribution

of planned expenditures in the second year changes by 10 percent or less (increase/decrease) from the initial plan submittal. (If the change is more than 10 percent (increase/decrease) a plan modification is required.)

- In multi-SDA labor market areas, adding or eliminating provisions with one or more SDA(s) for coordination of assessment of needs and problems; access by participants; or placement and employer outreach activities that will result in a 20 percent increase or decrease in the number of participants planned to be served.
- Changing or adding adult and youth competency levels to be achieved.
- Electing to operate the Summer Youth Employment and Training Program (SYETP) on a year-round basis or changing from a year-round basis to summer months only.
- Electing to make certain kinds of payments to participants, and changes to procedures or formulas for payments to participants.
- Changing major procedures for identifying and selecting participants if such procedures are required to be described in the job training plan including:
  - electing to delegate eligibility determination
  - reinstating in-house eligibility determination
  - electing to serve 14 and 15 year olds
  - eliminating previously established service to 14 and 15 year olds
  - changing selection of an additional barrier to employment
- Electing to transfer funds within Title II if the Job Training Plan does not specify this election (the election does not constitute an actual transfer of funds, only the intent to transfer funds at some point in the future—separate procedures are in place to transfer funds).
- Requesting a waiver of the Title III 50 percent requirement for retraining (that was not requested previously).

The second type of adjustment, which can be submitted at the sole discretion of the SDA administrative entity responsible for administering the Job Training Plan without concurrence from the PIC or other local partners, includes the following:

- Elimination of specific linkages not required by law previously identified in the Job Training Plan as “to be arranged.”
- Changing procedures for identifying and selecting participants if such procedures are required to be described in the Job Training Plan, e.g., identifying a new or additional service provider to whom eligibility determination is delegated if such delegation intent is already specified in the Job Training Plan; changing local election to serve non-SDA resident population.
- Adding additional direct training services or other services not previously identified in the plan.
- Other proposed changes not meeting previously stated criteria for implementation as either a modification or an adjustment requiring PIC concurrence.

## **E. Plan Publication and Review and Comment**

### **1. Initial Publication (March 2, 1998)**

The JTPA requires that the Job Training Plan be made available for review and comment at the same time the plan, or a summary of the plan, is published, i.e., 120 days before the start of the program year. For this planning cycle, the publication deadline is March 2, 1998. The plan must be made available for review and comment to many different entities, including the general public. To meet this requirement, announcement of plan availability must be made through such means as public hearings and local news media. The plan must be “reasonably available” to the general public, which would include public hearings, and announcement of availability through the local news facilities and/or notification of community groups and interested parties.

The plan summary should include the following elements as a minimum:

- name and address of SDA administrative entity;
- source and amount of funds available for the first program year (i.e., allocation for each title for the period July 1, 1998, through June 30, 1999);
- two-year program period (i.e., July 1, 1998, through June 30, 2000);
- types of program and services expected to be offered (e.g., classroom training, on-the-job training) and the types of occupations for which training is planned (these lists need not be all-inclusive, but the summary must indicate that fact);
- date and time of public hearing, if known, or statement that a public hearing is planned before April 13, 1998; and
- name and telephone number of contact person for more information and address where draft plan may be reviewed and where comments may be submitted.

In addition, a copy of the plan, or its summary, along with the date by which comments must be received by the SDA, must be mailed to:

- Gregory Schmidt  
Secretary of the Senate  
State Capitol, Room 3044  
Sacramento, CA 95814
- E. Dotson Wilson  
Chief Clerk of the Assembly  
State Capitol, Room 3196  
Sacramento, CA 95814
- Appropriate community-based organizations and local educational and other public agencies in the SDA, including the appropriate Director(s) of the County Welfare Department(s) and the Job Service Division Chief for the Employment Development Department (EDD) Field Offices within the SDA.
- Labor organizations in the SDA which represent employees having the skills in which training is proposed.

## **2. Public Hearing (*State-Imposed Requirement*)**

Section 15045 of the CUIC requires that the PIC hold a public hearing on the proposed plan prior to submitting the plan to the CEO(s). The hearing must be held some time between the first publication of the plan and the final publication of the plan. The public hearing must be announced at least ten days prior to the date of the hearing. All comments received about the plan, either at the public hearing or in response to the publication of the plan, must be responded to in writing. Responses must be sent by the PIC or the CEO, or both, and comments and responses must accompany the final plan when it is submitted to the Governor.

## **3. Final Publication (April 13, 1998)**

Eighty days prior to the start of the program year (April 13, 1998) the final plan, or a summary of the final plan, must be published. To meet this requirement, an announcement that the plan is available at the administrative office of the SDA or other public place (e.g., library) is sufficient. The announcement must contain the location, dates, and times that the plan will be available for public review. The announcement should also indicate that the plan was first published on March 2, that a public hearing was held and the date of that hearing, and that the final plan will be submitted to the Governor by May 4, 1998. Finally, the announcement should indicate that persons wishing to petition the Governor for disapproval of the plan may do so within 15 days of the plan submission if they can show that they: 1) represent a substantial client interest; 2) took appropriate steps to make their views known through the public hearing and plan review period; and 3) the request for disapproval is based on statutory requirement violations [JTPA 105(b)].

## **F. Final Plan Submission to Governor (May 4, 1998)**

The period between final plan publication (April 13, 1998) and plan submission, May 4, 1998, is intended to give SDAs time to respond to comments received and to secure the required signatures. Please submit four copies of the plan, at least two with original signatures, to be received by 5 p.m., May 4, 1998, using one of the following:

### **MAIL**

Employment Development Department  
Job Training Partnership Division  
Attention: Plan Review Unit  
P.O. Box 826880, MIC 69-1  
Sacramento, CA 94280-0001

### **HAND DELIVER**

Employment Development Department  
Job Training Partnership Division  
Attention: Plan Review Unit  
722 Capitol Mall, Room W1077  
Sacramento, CA 95814

### **COURIER SERVICE/OVERNIGHT MAIL**

Employment Development Department  
Job Training Partnership Division  
Attention: Plan Review Unit  
800 Capitol Mall, MIC 69-1  
Sacramento, CA 95814

## **G. Review Standards and Procedures**

The JTPA Section 628.425 of the Final Rule requires the Governor to establish standards for the review and approval or disapproval of the initial plan or modification; and to issue those standards at the same time as the instructions and plan schedules for preparation of the initial plan. Accordingly, the following standards and procedures will be used to determine whether Job Training Plans and subsequent modifications will be approved or disapproved.

### **1. Review Standards**

The JTPA Section 105(b)(1) specifies the conditions under which the Governor may disapprove a Job Training Plan or plan modification. Specifically, JTPA requires the Governor to approve a Job Training Plan or modification unless the Governor finds that:

- Corrective measures for deficiencies found in audits or in meeting performance standards from previous years have not been taken or are not acceptably underway.
- The administrative entity does not have the capacity to administer the funds.
- There are inadequate safeguards for the protection of funds received.
- The plan (or modification) does not comply with a particular provision or provisions of the Act or of the associated regulations.
- The plan (or modification) does not comply with the coordination criteria established in the GCSSP, or with the coordinating activities and linkages specified under Titles II-A and II-C with related program activities.

### **2. Review Procedures**

Each required element will be reviewed to determine whether it is covered in the Job Training Plan. Where discrepancies are noted, staff will attempt to resolve issues with the SDA. Plans with technical issues which cannot be resolved before the final deadline for approval may be given conditional approval with the contingency that the issue be resolved within a specified period. Please refer to the preceding timetables for specific dates and deadlines for various review elements.

## **H. Governor's Goals and Objectives and Coordination Criteria**

On December 9, 1997, the State Job Training Coordinating Council (SJTCC) adopted statewide goals and objectives and coordination criteria for California's Workforce Preparation Programs. The goals and objectives are meant to provide guidance to state agencies, local officials, and Private Industry Councils (PIC) in the formulation of their plans. These goals and objectives are not intended to dictate policy to local authorities and programs, but to define the overall policy framework for the use of public resources.

As required by JTPA Section 122(b)(3), each Job Training Plan will be reviewed by the SJTCC for the purpose of certifying to the Governor the consistency of the plan with the coordination criteria. As required by JTPA, each plan of state agencies providing employment, training, and related services will also be reviewed by the SJTCC for comment to the Governor.

# PLAN COMPLETION INSTRUCTIONS

## PART I — COVER PAGES

### Part I — Section 1

#### Signature Page

- Plan Element:** No job training plan prepared under Section 104 may be submitted to the Governor unless (1) the plan has been approved by the Private Industry Council (PIC) and by the appropriate Chief Elected Official (CEO) or officials specified in subsection (c), and (2) the plan is submitted jointly by the PIC and such official or officials.
- References:** JTPA 103; CUIC 15023, 15042, 15046, 15050
- Background:** The Job Training Plan prepared in accordance with the PIC/CEO agreement must be approved and submitted jointly by the PIC and CEO(s).
- Instructions:** Following approval by the PIC and the CEO, have the PIC Chairperson and the CEO(s) sign as appropriate and where indicated. When the plan is approved by the state, an approved copy will be returned to the Service Delivery Area (SDA) administrative entity.

### Part I — Section 2

#### Table of Contents

- Plan Element:** The table of contents formally incorporates the individual documents and forms that comprise the plan.
- Instructions:** Complete the Primary Plan Contact Persons information for Title II and Title III.
- Complete the Job Training Plan Table of Contents. Check the “Included” column to indicate that a section has been completed and is included in the plan. Specify in the “Number of Pages” column the total number of pages constituting each section. If an element is not included because it is not applicable to your plan (e.g., if your SDA does not share a labor market area with another SDA) leave the “Included” and “Number of Pages” spaces blank. List the attached items and the number of pages included.

## PART II — GENERAL PLANNING REQUIREMENTS

The Plan contains assurances that the local job training program is in compliance with the requirements outlined in statute. The PIC and CEO must certify compliance with these requirements (through the assurances) for plan approval. Supporting documentation must be maintained at the local level relative to the compliance areas.

### Part II — Section 1

#### CalWORKs Certification (*State-Imposed Requirement*)

**Plan Element:** The SDA Job Training Plan must contain a certification by each county that it is consistent with the County California Worker Responsibility to Kids (CalWORKs) Plan for the provision of employment and training services for public assistance recipients. If the plan does not contain the county certification required under this subdivision, the State Job Training Coordinating Council (SJTCC) shall certify that the SDA plan is consistent with the county plan in the provision of sufficient services.

**References:** CUIIC 15006, GCSSP, Welfare and Institutions Code Sections 11320-11329.7

**Background:** State law requires that Job Training Plans include a description of how they meet the needs of participants served under the welfare-to-work program under the CalWORKs (California Work Opportunity and Responsibility to Kids Act). This includes a description of the agreed upon methods and procedures whereby employment and training services to public assistance recipients are tied to and part of the system of integrated access to Public Assistance and Employment and Training Services with the county. Counties are required to fully cooperate with SDAs to assist in the establishment of appropriate linkages. These linkages must be specified in Part III, Section 2 of the Job Training Plan. To assure that this planning has occurred, state law and the Governor's Coordination and Special Services Plan (GCSSP) also require that the county which administers a CalWORKs plan must certify that the Job Training Plan is consistent with the CalWORKs program.

**Instructions:** Once joint planning with the local CalWORKs officials has occurred and the Job Training Plan has been completed, submit the plan for review and certification by the appropriate county or counties. In multi-county SDAs, a separate certification from each county is required. If any county served by the SDA does not certify the consistency of the plan, provide an explanation. The SJTCC is authorized by the CUIIC Section 15006(b) to certify the plans as consistent. Therefore, the explanation provided must be in sufficient detail to allow the SJTCC to determine whether the plans can be certified as consistent. A space is provided for this explanation if it is needed. (Note: the CalWORKs legislation changed the references in the CUIIC from Greater Avenues for Independence Program (GAIN) to CalWORKs.)

## Part II — Section 2

### Administrative Entity and Grant Recipient

- Plan Element:** The plan must identify the entity that will administer the program and be the grant recipient of funds from the state.
- References:** JTPA 104; CUIIC 15043; 20 CFR 628.41; 628.415; JTPA Directives D95-22, and D95-14, Rev. 1
- Background:** This section contains general descriptive information about the Service Delivery Area (SDA).
- Instructions:**
- Item A. Complete the information requested.
  - Item B. Describe the process used by the SDA to comply with the PIC/CEO notification requirements as outlined in JTPA Directive D95-14, Rev. 1 (***State-Imposed Requirement***).
  - Item C. The following attachments are required:
    - Joint Powers Agreement, if applicable.
    - List of PIC members, identifying each member's affiliation, category of representation, and term of office.
    - PIC/CEO Agreement.

## Part II — Section 3

### General Assurances

- Plan Elements:** The PIC must be involved in all aspects of the program; the JTP must be developed with the PIC and the CEO; public review must occur not less than 120 days before the beginning of the initial plan; SDA Oversight Plan must be approved by the PIC and CEO; JTPA programs are available to eligible participants; and the SDA must follow DOL cost compliance requirements.
- References:** JTPA 103; 104; 108; 141; 20 CFR 627.445; 628.410, 631.14
- Background:** The GCSSP establishes a basic goal that all employment, training, education, social services, and economic development programs be coordinated fully and non-duplicative. To the degree possible, the programs must integrate resources and jointly plan common systems for the provision of services to meet the diverse needs of the eligible population and the unemployed.

**Instructions:** Review Assurances A through F and check the box. In Assurance C, insert date of public hearing(s) and indicate whether comments were received. If comments were received, attach comments and responses to the plan.

## **PART III — TITLE II JOB TRAINING PLAN NARRATIVE PLANNING REQUIREMENTS**

### **Part III — Section 1**

#### **Title II Multi-SDA Labor Market Coordination**

**Plan Element:** The plan must include provisions for coordinating particular aspects of the SDA program with other programs and service providers where there is more than one SDA in a single labor market area. These include provisions for:

- assessing needs and problems in the labor market that form the basis for program planning;
- ensuring access by program participants in each SDA to skills training and employment opportunities throughout the entire labor market;
- coordinating or jointly implementing job development, placement, and other employer outreach activities; and
- entering into agreements and contracts, establish pursuant to Section 141(e)(2), between SDAs to pay or share the cost of services.

**References:** JTPA 104, 141; CUIC 15043; GCSSP

**Background:** Labor Market Areas (LMA) are defined as geographic areas consisting of a central community and the surrounding territory (which may include one or more counties) in which there is a concentration of economic activity and labor demand and in which workers can generally change jobs without changing residence. Metropolitan Statistical Areas (MSA) are defined as integrated economic and social units with a recognized population center which includes a city of specified population and the county in which it is located. Contiguous counties may be included when their metropolitan character is integrated with the central city. The MSAs are generally considered single LMAs. The federal Department of Labor's (DOL) Bureau of Labor Statistics has designated 17 MSAs in California. A total of 28 of the state's 52 SDAs are encompassed, at least in part, by eight MSAs. The remaining SDAs are coterminous with their LMAs.

**Instructions:** Review the list in the Appendix which identify SDAs by LMA. The lists are arrayed alphabetically by SDA and by MSA. If your SDA shares a common LMA with other SDAs, it is necessary to coordinate services and programs with these SDAs.

Item A. Check the appropriate box. If "yes", complete 2.

Item B. Check the appropriate box. If "yes", complete 2 and 3.

## Part III — Section 2

### Title II Linkages

**Plan Element:** The plan must discuss linkages established with appropriate agencies, pursuant to Sections 205 and 265, designed to enhance the provision of services and avoid duplication, including:

- (A) agreements with appropriate educational agencies;
- (B) arrangements with other education, training, and employment programs authorized by Federal law;
- (C) if appropriate, joint programs in which activities supported with assistance under this Act are coordinated with activities (such as service opportunities and youth corps programs) supported with assistance made available under the National and Community Service Act of 1990 (42 U.S.C. 12501 et seq.); and
- (D) efforts to ensure the effective delivery of services to participants in coordination with local welfare agencies and other local agencies, community-based organizations, volunteer groups, business and labor organizations, and other training, education, employment, and social service programs.

**References:** JTPA 104; 205; 265; 601; 20 CFR 628.545; CUIC 15006, 15032, 15037.3, 15043, 15057, 15070, 15072; GCSSP

**Background:** A critical element of effective Job Training Partnership Act (JTPA) programs is the establishment of appropriate linkages with federal and state employment and training and related programs. The SDA compliance with these coordination and linkage requirements is one of the primary plan approval requirements. Under the JTPA Title II-A Adult program, linkages are required (where feasible) for specific federally-funded programs and other appropriate agencies; under the Title II-C Youth program, linkages are required (where feasible) with educational agencies in addition to certain named federally-funded programs. In addition, if SDAs conduct schoolwide projects for low-income schools, they must establish cooperative agreements with appropriate local education agencies in accordance with requirements found in JTPA Section 265(d).

The Coordination Criteria of the GCSSP expand on specific linkages required in JTPA. The complete text of the Governor's Coordination Criteria is included in the Appendix.

Section 8 of the Wagner-Peyser Act requires that local Employment Development Department (EDD) field offices develop certain planning initiatives jointly with the local PIC. The State Job Training Coordinating Council's Coordination Criteria specifies that SDAs' JTPA programs need to

be coordinated with employment and training programs operated by the EDD. It further states that the local EDD Job Service office(s) and the SDA administrative entity shall jointly plan for the coordinated provision of services to common employers and clients and, as appropriate, jointly develop projects that serve identified community needs. The EDD field office managers have the lead responsibility for developing the Coordinated Services Strategy (CSS) with each SDA. The completion of the CSS and the Job Training Plan are guided by different timelines; therefore, the CSS is not required to be part of the Job Training Plan.

The GCSSP also requires SDAs to define linkage as it applies locally within specific parameters established **(State-Imposed Requirement)**. To be considered acceptable, a linkage must clearly enhance the provision of services within the SDA. Therefore, a linkage must involve more than occasional meetings and informal arrangements. The local definition of linkage must require, as a minimum, written operational agreements with other entities which result in one or more of the following:

- an increase in the total number of persons served in the affected programs;
- a qualitative and quantitative increase in the services provided to participants in the affected programs that is consistent with the needs of the participant;
- arrangements to share client data and other relevant program information;
- measurable changes in decreasing duplication of services, or in increasing effective use of existing resources between the affected programs;
- agreements or contractual arrangements to share certain resources and/or costs of training participants in affected programs, consistent with regulations of the affected programs;
- comprehensive service strategies for participants in the affected programs;
- formal agreements (monetary or nonmonetary) involving joint planning, service delivery or other arrangements;
- other elements which enhance program services.

This is a critical element of the Job Training Plan. Non-compliance with the coordination and linkage requirements in the GCSSP, and in Sections 205 and 265, is a basis for disapproval of the plan.

- Instructions:** Item A. State the PIC approved-definition.
- Item B. Review and:
- Line 1. Check the box.
  - Line 2. Check the box.
  - Line 3. Complete as specified.
  - Line 4. Complete as specified.
  - Line 5. Complete, if appropriate.
  - Line 6. Complete the chart.
  - Line 7. Complete the description.
  - Line 8. Complete if any of the responses were “No” in 3 or 4.

## Part III — Section 3

### Title II Program Goals and Objectives

- Plan Element:** Title II programs must contain specific goals and objectives. These goals and objectives must include: (A) a description of the manner in which the program will contribute to the economic self-sufficiency of participants, and the productivity of the local area and the Nation; and (B) performance standards established in accordance with standards prescribed under Section 106. Additionally, the SDA must develop goals and objectives for its the Summer Youth Employment Training Program (SYETP) activities, if applicable.
- References:** JTPA 104, 106, 254, 255; 20 CFR 628.410, 628.701, 628.710; CUIC 15043
- Background:** Federal law requires that Job Training Plans contain specific minimum goals and objectives for the programs operated by a respective SDA. These goals must be consistent with the overall objectives of the JTPA reiterated in this section. The SDA goals and objectives must reflect local planning, design, and oversight to ensure that the varied needs of the SDA's customers are met. They must also consider the Governor's goals and objectives and joint planning initiatives needed to meet these goals.
- Instructions:** Item A. The SDA must:
- Line 1. Describe the required SDA goals and objectives which show how the SDA's program will contribute to the economic self-sufficiency of participants and to the productivity of the local area and the nation.
  - Line 2. Specify the SDA's performance standards for PYs 1998 and 1999 combined.
  - Line 3. Indicate whether the SDA will operate a year-round SYETP; if yes, describe the rationale for this decision.

Line 4. Describe the SDA's goals and objectives for its SYETP activities.

Line 5. Describe all other SDA Title II goals and objectives.

Item B. Review the needs assessment assurance (***State-Imposed Requirements***) and check the box. The assurance requires that an appropriate needs assessment be completed on which the goals and objectives referenced above are based. The assessment must reflect SDA customer needs especially local employment needs. The assessment, and resultant goals and objectives, must also consider local economic conditions, and coordinated planning efforts needed to meet them, including joint development of service plans, if appropriate, with the agencies referenced previously in Section 2 (Linkages) of the plan. Other Title-II JTPA activities, e.g., 5 percent Older Worker and 8 percent State Education Coordination and Grants (SECG) funded programs, must also be effectively integrated within your SDA's overall planning efforts to achieve these goals and objectives.

## Part III — Section 4

### Title II Identifying and Selecting Participants

**Plan Element:** Procedures for identifying and selecting Title II participants must include:

- (A) adequate eligibility determination and verification system(s);
- (B) delegation of eligibility determination responsibilities;
- (C) documentation and verification of eligibility;
- (D) limited exceptions for serving non-SDA residents to include any provisions for serving homeless individuals;
- (E) service to in-school 14 and 15 year old youth;
- (F) training/placement goals, outreach efforts, and types of services, for hard-to-serve individuals; and
- (G) provision of equitable services to women and minority substantial segments of an SDA's eligible population.

**References:** JTPA 104, 141, 165, 167, 203, 254, 263, 604; 20 CFR 628.505, 628.605, 628.702, 628.803; CUIIC 15003; Directives D96-5 and D97-7

**Background:** Job Training Plans must assure that adequate systems are in place for identifying and selecting participants. Along with establishing adequate eligibility determination/ verification systems, SDAs must develop outreach

and recruitment mechanisms that ensure that appropriate persons are being served by the SDA.

These mechanisms must ensure that the SDA meets the targeting requirements for hard-to-serve individuals applicable to Titles II-A and II-C along with equitable service to significant segments of an SDA's eligible population. Hard-to-serve individuals are defined as individuals who have one or more serious barriers to employment. The JTPA lists serious barriers that meet the hard-to-serve requirement for Title II-A Adult Programs, Title II-C in-school youth programs and Title II-C out-of-school youth programs, and for each of these three sub-titles, allows SDAs to select one additional serious barrier.

The Governor must approve the additional barriers selected by SDAs and must identify all the additional barriers selected in the GCSSP. The establishment of a state-approved listing allows SDAs the option to select an additional barrier with the preapproval of the Governor so they can plan programs without waiting for approval from the state. The JTPA Directive D96-5 and the GCSSP describe the preapproved list of additional barriers and the criteria which will also be used to approve or disapprove proposed additional barriers not appearing on the final state-approved list.

In addition, based on local circumstances and service delivery needs, the SDA must determine the appropriate use of elective elements for participant selection criteria, e.g., service to 14 and 15-year-olds.

**Instructions:** Items A through E: Review and check the appropriate boxes and insert documents as required.

Item F. Hard to Serve Individuals

- Line 1. Identify as required
- Line 2. Review and check the box
- Line 3. Describe as required
- Line 4. Identify as required

Item G. Check the appropriate box for each affected Title II program to indicate whether an additional barrier has been identified, what the barrier is, and whether the barrier appears on the state-approved list, which can be found in JTPA Directive D96-5.

If the additional barrier(s) selected is not on the state-approved list, describe why the barrier(s) is considered a serious barrier to employment for potentially eligible JTPA participants within the SDA. Be specific and include justification for the selection. Identify what documentation will be used to establish that an individual has that barrier (***State-Imposed Requirement***).

Item H. Review and check the box.

## Part III — Section 5

### Title II Nontraditional Employment for Women

**Plan Element:** The plan must include goals for the training or women in nontraditional employment; the training-related placement of women in nontraditional employment and apprenticeships; and a description of efforts to be undertaken to accomplish the goals described, including efforts to increase awareness of such training and placement opportunities. See Appendix for list of occupations in California with 25 percent or less females.

**References:** JTPA 104, 123, 141, 456; CUIIC 15020, 15032, 15043; GCSSP

**Background:** In 1991, JTPA was amended in recognition of the need to provide a wider range of training opportunities for women under existing JTPA programs, consistent with the overall goal of JTPA programs to increase participants' employment, earnings, educational and occupational skills.

"Nontraditional employment" is defined as occupations or fields of work where women comprise less than 25 percent of the individuals employed in such occupation or field of work. Although nontraditional occupations are usually thought of only as construction or skilled trades, these occupations encompass a much broader spectrum of jobs in technical and other fields. Included in the Appendix is a listing of occupations with less than 25 percent female.

**Instructions:** Review prior year goals for training and placement of women in nontraditional occupations in your SDA. Use the prior year numeric goals and accomplishments as the basis for setting numerical goals for PY 1998 and 1999.

Item A. List those occupations in the SDA's labor market which meet the definition of "nontradition" (i.e., 25 percent or less females), for which there is a labor market. Include the average wage or wage range for those occupations and indicate by a check mark if the identified occupation is in demand in the LMA.

Item B. Establish numeric goals for training of women in nontraditional occupations and determine the percentage that number represents of all women trained within the SDA. Also calculate the percent increase (if applicable) of the new numeric goal over the prior year numeric goal. Document this information in the spaces provided.

Item C. Establish numeric goals for placement of women in nontraditional occupations and apprenticeships and determine the percentage that number represents of all women placed within the SDA. Also calculate the percent increase (if applicable) of the new numeric goal

over the prior year numeric goal. Document this information in the spaces provided.

Item D. Describe efforts to accomplish the goals established. Such efforts could include participation in demonstration projects that focus on training and placement of women in nontraditional employment.

## **Part III — Section 6**

### **Title II Assessment, Referral, Services, Competencies**

**Plan Element:** The plan must include a description of:

- the assessment process that will identify participant skill levels and services needs;
- the process for providing information and referrals for applicants and participants relating to appropriate programs and service providers;
- the services to be provided, including the means for involving labor organizations and community-based organizations in the provision of services, the estimated duration of service, and the estimated training cost per participant;
- the competency levels to be achieved by participants as a result of program participation; and
- the procedures for evaluating the progress of participants in achieving competencies.

**References:** JTPA 104, 106, 165, 204, 240, 253, 264; 20 CFR 627.305, 627.310, 627.460, 628.510, 628.515, 628.530; CUIIC 15043; Directive D95-24

**Background:** The JTPA emphasizes services to the most in need groups. Improving program quality and targeting the hard-to-serve necessitates a comprehensive evaluation of the scope and availability of programs and services that will meet the needs of this client group.

The DOL has indicated that the objective assessment is to be a client-centered, diagnostic approach to evaluation of the needs of participants without regard to services or training programs already available in an SDA. It is an independent, comprehensive evaluation of an individual designed to identify information vital to the design of a service strategy culminating in gainful employment. New assessments or new service strategies are not needed if it is determined that a recent assessment or a recent strategy established under other education or training programs are appropriate. However, the objective assessment, as an ongoing process, is to be reviewed regularly and amended, as appropriate, when additional needs are identified or goals achieved.

Every SDA will not be able to provide the full array of services indicated by the objective assessment and documented in the Individual Service Strategy (ISS). In arranging for the mix and sequence of appropriate services, it is fully expected that SDAs will refer participants to other programs for certain specified activities. In addition, JTPA and the regulations at 628.530 specify the requirements for referral of eligible applicants for whom available Title II services are not deemed suitable to appropriate human service programs in the community. The responsibility of the SDA at this point in the intake process is to assure that eligible applicants not suitable for Title II participation are “provided information on the full array of applicable or appropriate services that are available . . .” (Section 204(a)(2)(A) of JTPA) and make necessary arrangements for individuals to make contact with those services. In the case of service providers who discover that an eligible individual does not meet program enrollment requirements, service providers refer such individuals back to the SDA for further assessment and referral.

The PICs are required to establish competency levels for adults and youth which are based on such factors as entry level skills and other hiring requirements, in consultation with education agencies and, if appropriate, business, organized labor, and community based organizations. Title II programs are measured on the ability to provide services that can lead to the achievement of competency standards for participants with identified deficiencies.

- Instructions:**
- Item A. Assessment: Describe the assessment process used in the SDA to determine skill levels and service needs of each participant. At a minimum, the description must:
    - Line 1. identify the scope of the assessment which must be able to identify basic skills deficiencies, occupational skills deficiencies, prior work experience, employability, interests, aptitudes, and supportive services needs;
    - Line 2. include how the skill levels and service needs of each participant will be established (the assessment tools or methods to be used);
    - Line 3. show how the assessment will be used to develop the service strategies for each participant; and
    - Line 4. specify how the assessment process will be ongoing to assure the continued adequacy of the service strategies developed for each participant.
  - Item B. Information and Referral:
    - Line 1. Review and check the box.
    - Line 2. Describe how the SDA will ensure that each participant or applicant who meets minimum income eligibility criteria

shall be provided information on the full array of applicable or appropriate services. Describe how the SDA will ensure that these individuals are referred to appropriate training and educational programs.

Item C. Services:

- Line 1. Identify type of service expected to be offered within the SDA; check which fund source will provide the service. Specify the average expected duration of the training or service in weeks or hours (indicate which). State the average cost per participant of the training service. If the duration or cost differ by program, show the duration and cost by program (e.g. basic skills training, Title II-A, 16 weeks \$800; basic skills training, Title II-C, 20 weeks \$1,000).
- Line 2. Identify the training-related and supportive services to be offered by program type. **NOTE:** For services that might be offered (but are not definitely planned), write “contingency option” in the estimated duration box and check the appropriate fund source box.
- Line 3. If payments will be made to participants, indicate what kinds of payments and specify the procedures established for each type of payment.
- Line 4. Check the assurance block.
- Line 5. Describe how labor organizations and community-based organizations are involved in providing services identified in 1 and 2.

Item D. Competencies: Describe the adult and youth competency standards established by the PIC. They should be relevant to entry level workplace skills required by employers for various occupations in the SDA.

Item E. Evaluation of Competencies: Describe how the SDA will monitor to assure that participants are achieving the specified competencies and meeting the objectives of the individual service strategies. This may include examination of service provider records, progress tests and other evidence of skill attainment.

## Part III — Section 7

### Title II Procedures for Selecting Service Providers

- Plan Element:** The plan must discuss procedures for selecting service providers which are consistent with Sections 107 and 164 of the Act and consider:
- past performance regarding job training, basic skills training or related activities, fiscal accountability, and ability to meet performance standards;
  - ability to provide services that can lead to achievement of competency standards for participants with identified deficiencies.
- References:** JTPA 104, 107, and 164; 20 CFR 627.420, 627.422; and CUIIC 15024 and 15043
- Background:** Job Training Plans must assure that procedures used by SDAs to select their service providers are in compliance with the various requirements of this section. This assures that providers are selected in an open and competitive manner and on the basis of demonstrated performance.
- Instructions:** Review the assurances 1 through 5 and check the box.

## Part III — Section 8

### Title II Fiscal Control and Fund Accounting

- Plan Element:** The plan must describe adequate procedures to assure the proper disbursement and accounting for funds received under Title II including, but not limited to:
- procurement
  - monitoring
  - management information system requirements
  - accounting
  - audit
  - debt collection procedures
- References:** JTPA 104, 164; 20 CFR 627.475, 627.481; 627.423; CUIIC 15043; JTPA Directives D97-11, D97-6, D95-33, and 86-8, Rev. 1
- Background:** Job Training Plans must contain procedures used by SDAs to assure the required level of fiscal control and fund accountability for its Title II funds. Such procedures must ensure that all financial transactions are conducted and attendant records maintained in accordance with generally accepted accounting principles. These procedures must assure compliance with any applicable standards developed by the state especially in the areas of audit resolution and debt collection. This section requires the identification of

specific sets of procedures along with other related procedures that an SDA uses to meet the requirements referenced in this section.

**Instructions:** Provide a narrative for each of the fiscal control and fund accounting items listed.

## **Part III — Section 9**

### **Title II Secretary of Labor's Program Goals**

**Plan Element:** The plan must include a discussion of the SDA's compliance with the Secretary's program goals, as outlined in the planning guidance provided to the Governor.

**References:** 20 CFR 628.420; TEGL 4-95

**Background:** The DOL guidelines for preparation of the GCSSP, which includes the Secretary's program goals, has not yet been released for Program Years 1998 and 1999. Therefore, SDAs should consider the three basic objectives established for the prior two-year planning period, which were in the DOL Training and Employment Guidance Letter (TEGL) 4-95. These objectives are:

- Collaborative Planning: Involving all applicable stakeholders in planning and decision-making. This should include a discussion of the local welfare agency(ies) and others involved in the planning and implementation of CalWORKs and Welfare-to-Work;
- Systems Development: Implementation and integration of such systems as One-Stop Career Centers and School-to-Career programs for in-school and out-of-school youth; and
- Improvement in Program Services and Outcomes: Continuous improvement focusing on understanding customer needs, changing processes to improve the quality of services, measuring performance results on a number of dimensions (including the Secretary's core performance measures) and using these combined customer and program performance results to pinpoint problems and develop new improvements. The discussion may include, if applicable, the use of the Enterprise Council and SIMPLY BETTER! customer technical assistance guides and the Worker Profiling and Reemployment Services Initiative.

**Instructions:** Discuss how the SDA's planned program for Program Years 1998 and 1999 complies with the Secretary's program goals.

## Part III — Section 10

### Title II Compliance with the Governor's Coordination Criteria

**Plan Elements:** The plan must include a description of the methods complying with the coordination criteria contained in the Governor's Coordination and Special Services Plan (GCSSP).

**References:** JTPA 104; CUIC 15043; 20 CFR 628.205; GCSSP

**Background:** The Governor's coordination criteria are important elements of the state's employment and training program, and are established to assure that employment and training related activities conducted by various agencies throughout the state are complementary and nonduplicative. They are not intended to affect local discretion concerning the selection of eligible participants or service providers.

The coordination criteria are essential for planning purposes, in developing linkages, and guiding service providers toward the integration of resources which result in programs that meet the needs of the eligible populations. Compliance with the coordination criteria is one of the critical review elements for approving the Job Training Plan. The SDAs must consider the criteria in the development of their plans.

**Instructions:** Review the coordination criteria listed (full text included in Appendix) and identify the methods used in your SDA for complying with those criteria. Since most of the coordination criteria related to other sections of the Job Training Plan, the methods for complying with each are likely described in more detail in those sections. For each criterion, specify the Part, Section(s) and page number(s) where specific information about the SDA's method of compliance (including assurances) can be found in the Job Training Plan. If a specific coordination criterion does not apply to the SDA, check the N/A (not applicable) block.

If information about the SDA's method for complying with the coordination criteria is not found elsewhere in the Job Training Plan, describe the methods in the space provided. Attach additional pages if more space is needed for these descriptions. Identify each description with the corresponding coordination criterion number.

## Part III — Section 11

### Title II Annual Report Procedures Assurance

**Plan Element:** The PIC and CEO must assure compliance with the Governor's requirements for the Annual Report.

- References:** JTPA 104; CUIC 15043; JTPA Directive D97-8
- Background:** Job Training Plans must contain assurances regarding procedures for the preparation of an Annual Report to the Governor. The Job Training Partnership Division issues instructions to SDAs for preparing and submitting the Annual Report to the Governor. The JTPA Directive D97-8 provided guidance for the PY 1996-97 Annual Report.
- Instructions:** Review SDA procedures for completion of the Annual Report and check the box.

## **PART IV — TITLE III SUBSTATE PLAN NARRATIVE PLANNING REQUIREMENTS**

### **Part IV — Section 1**

#### **Title III Assurances**

**Plan Element:** The Department of Labor (DOL) has not issued instructions to states for preparing a statewide Title III plan for PYs 1998 and 1999. In the absence of direction from DOL, the state is not issuing new planning guidelines for Title III. The Private Industry Council (PIC) in each Service Delivery Area (SDA) shall be actively involved in the development of an employment and training plan which it can recommend and approve as meeting the requirements of the Job Training Partnership Act (JTPA), and also includes:

- (A) Procedures for providing rapid response activities, basic readjustment services, retraining activities, needs-related payments, and coordination with the unemployment compensation system.
- (B) Procedures to meet the applicable performance goals and standards.
- (C) Identification of the administrative entity which shall receive from the State the 60 day notice as required to be given to units of local government pursuant to the federal Worker Adjustment and Retraining Notification Act (WARN), Public Law 100-379.

**References:** JTPA 311, 313, 314; CUIC 15032, 15076; GCSSP

**Background:** Each substate area must have in place, at a minimum, the general assurances for the operation of their Title III program.

**Instructions:** Review all of the assurances A through Q and check the box. Check N/A if appropriate for I, L2, M.

### **Part IV — Section 2**

#### **Title III Narrative**

**Plan Element:** The plan must include descriptions of the following:

- (A) Methods by which the substate grantee will respond expeditiously to worker dislocation where the rapid response assistance required by JTPA Section 314(b) is inappropriate, including worker dislocation in sparsely populated areas;
- (B) Training services to be provided;

- (C) Involvement of displaced workers in program delivery, including, as appropriate, paid employment for these individuals in providing services under the program;
- (D) Utilization of services and resources from other sources, public and private, and specific procedures for coordination with other programs, in order to maximize services to displaced workers and their families and increase employment and training opportunities.

**References:** JTPA 313, 315; CUIC 15076

**Background:** In addition to the Title III Assurances, the JTPA and the Family Economic Security Act (FESA) require additional narrative information on the development and operation of the dislocated worker program.

**Instructions:** Provide description for each item, A through F.

## **Part IV — Section 3**

### **Title III Retraining Waiver (*State-Imposed Requirement*)**

**Plan Element:** A substate area may request a waiver to reduce the retraining requirements to no lower than 30 percent of the total Title III allocation.

**References:** JTPA 315

**Background:** The state allows substate areas to request a waiver to reduce the Title III retraining requirements in the Job Training Plan. The waiver request will be reviewed by the state and a determination will be made as part of the plan review. Please be specific in citing the reasons for the request. These are critical areas of consideration in the approval process. (***State-Imposed Requirement***)

**Instructions:** Check the appropriate box (yes or no). If your substate area is requesting a waiver of the 50 percent retraining requirement, enter the percentage of the total Title III allocation planned for retraining expenditures (must be at least 30 percent). In the next section, explain the rationale for the request. The rationale must include an explanation of how the SSA will ensure that eligible displaced workers will be prepared for occupations or industries with long-term potential. The waiver request will be reviewed by the state and a determination made as part of the plan review.

## PART V — TITLES II AND III BUDGET AND PARTICIPANT DATA REQUIREMENTS

### Part V — Section I

#### General Information

The plan contains Titles II and Title III budget plan and participant plan summary pages. These summary pages show the budget and participant plans for future program years, and collect the same data elements as reported on the quarterly financial and participant reports (JTPA 12/12E, JTPA 10/10E).

Title II Job Training Plan must contain adult and youth program budgets for Program Years 1998 and 1999 and any proposed expenditures for the succeeding two program years. These budgets encompass known funding available to meet SDA/SSA goals and objectives for the two-year term of this plan, and other longer term goals/objectives. The budget information requested in this section requires that SDA/SSAs provide planned expenditures and participation/termination levels by major Title II fund source. (Note: Title II-B SYETP funds are the only funds allocated on a calendar year basis consistent with the program operation time frame of October 1 through September 30.) By listing future percentages, four years are reflected in the plan.

For Title III, a forward year budget plan is required as part of the two-year planning process. The Title III second year percentage budget is required by the state. By listing one year of future percentages, three years are reflected in the plan.

The pages were created in a Microsoft Excel Workbook, with one page per worksheet.

The following explains certain items listed on the participant and budget forms:

Heading: This information must appear on all pages. If using an electronic version of the plan, the data must be entered on the first page only. The data will appear automatically on the remaining pages. For manual completion, the data must be entered on all pages. Please enter:

In the first cell after “SDA/SSA,” enter your three letter alpha subgrantee code. In the next cell, enter the name of your SDA/SSA.

In the first cell after “Date,” enter the effective date of this plan using the MM/DD/YY format.

Identification: Under “Program Type,” each Title II worksheet contains the three digit grant code, title, subpart (if applicable), and program name (i.e., 220 Title II-A 77 percent Adult). Each worksheet is pre-marked for the specific program. The Summer Youth Employment and Training Program, Title III formula, and the Proposed Distribution of Funds for PY 1999 use separate worksheets.

<u>Data Elements:</u>	In the instructions, lines for entering data information are shown as “2,” etc. If no number is listed in the instructions, then the information for that line was pre-entered.
<u>Formulas:</u>	For your convenience, the electronic version of the plan provides formulas for computed information: totals, percentages and current participants. It is recommended that you DO NOT change the formulas; if for any reason you do alter the formulas, please indicate this in the “Comments.” For manual completion, the formulas are noted following the name of the line. Cells not intended for data entry are locked.
<u>Contact and Comment:</u>	On the line provided, please indicate the person to contact with his/her title and telephone number, and the date prepared on all pages. The bottom of every form provides space for comments; complete as necessary.

## Part V — Section 2

### Instructions for Specific Forms

- **Transfer of Funds Declaration**

Transfer of Funds Declaration page describes if/how your SDA/SSA plans to use this alternative. Please mark the box YES, and only mark NO for transfer options you do not want to consider. By marking YES, the SDA/SSA satisfies public notification thus retaining the right to transfer funds based upon changing program needs, except for those specifically identified as NO. Please note that a YES decision here is public notification of the SDA/SSA’s intention to reserve a particular transfer option. When the SDA/SSA wants to exercise a particular transfer option, the appropriate budget and participant pages and letter must be submitted to JTPD. If the SDA/SSA elects to exercise a particular transfer option at the same time of submitting this plan to JTPD and the appropriate budget and participant pages reflect the transfer, please remember to include the required letter with the plan.

- **Title II Budget Plan Summary**

Program Type: Use the appropriately pre-marked page.

Funding Identification:

- Line 2. Enter the allocation for the corresponding program type (grant code identified in the column heading) for each YOA.
- Line 3. Enter any adjustments to allocation, plus or minus.
- Line 4. Enter any transfers, in or out. For transfer limitations, see Transfer of Funds Declaration. (NOTE: The Transfer of Funds Declaration page must be marked in order to reflect a transfer here.)

Line 5. Presents total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by JTPA Title II cost category in the appropriate YOA column. As a reminder, there are no cost limitations for Title II 5 percent Incentive Grant funds. Line 9 must equal Line 5.

Quarterly Total Expenditure Plan:

Line 10. For YOAs 1996 and 1997, enter the cumulative total expenditures through June 30, 1998.

Lines 11-22. For each YOA, provide planned quarterly expenditures, on a cumulative basis, for each quarter.

NOTE:

Line 14. For YOA 1996 must equal Lines 5 and 9 for YOA 1996.

Line 18. For YOA 1997 must equal Lines 5 and 9 for YOA 1997.

Line 22. For YOA 1998 must equal Lines 5 and 9 for YOA 1998.

Cost Compliance Plan: This section documents cost compliance planned by YOA.

Line 23. Cost category compliance requires a minimum of 50 percent of total funds available by YOA be spent on direct training services; there are no cost limitations for Title II 5 percent Incentive Grant funds.

Line 24. Cost category compliance requires not more than 20 percent of total funds available by YOA be spent on administration; there are no cost limitations for Title II 5 percent Incentive Grant funds.

- **Summer Youth Budget Plan Summary**

Funding Identification:

Line 2. Enter the allocation for the summer youth program (subgrant and grant code identified in column heading) for each FY YOA.

Line 3. Enter any adjustments to allocation, plus or minus.

Line 4. Enter any transfers, in or out. For transfer limitations, see Transfer of Funds Declaration. (NOTE: The Transfer of Funds Declaration page must be marked YES in order to reflect a transfer here.)

Line 5. Presents total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by JTPA Title II summer youth cost category in the FY YOA column. Line 8 must equal Line 5.

Quarterly Total Expenditure Plan:

- Line 9. For FY YOAs 1996 and 1997, enter the cumulative total expenditures through September 30, 1997.
- Lines 10-20. For each FY YOA, provide planned quarterly expenditures, on a cumulative basis, for each quarter.

NOTE:

- Line 12. For FY YOA 1996 must equal Lines 5 and 8 for FY YOA 1996.  
Line 16. For FY YOA 1997 must equal Lines 5 and 8 for FY YOA 1997.  
Line 20. For FY YOA 1998 must equal Lines 5 and 8 for FY YOA 1998.

Cost Compliance Plan: This section documents cost compliance planned by FY YOA.

- Line 21. Cost category compliance requires a minimum of 85 percent of total funds available by FY YOA be spent on training and participant supportive services.
- Line 22. Cost category compliance requires not more than 15 percent of total funds available by FY YOA be spent on administration.

• **Title III Budget Plan Summary (515 Formula)**

Funding Identification:

- Line 2. Enter the allocation for the Title III formula program (subgrant identified in column heading) for each YOA.
- Line 3. Enter any adjustments to allocation, plus or minus.
- Line 4. Enter any transfers, in or out. For transfer limitations, see Transfer of Funds Declaration. (NOTE: The Transfer of Funds Declaration page must be marked YES in order to reflect a transfer here.)
- Line 5. Presents total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by JTPA Title III formula cost category in the appropriate YOA column. The two-year plan will not be approved if these planning minimums are not met. Line 10 must equal Line 5.

Quarterly Total Expenditure Plan:

- Line 12. For YOA 1997, enter the cumulative total expenditures through June 30, 1998.
- Lines 13-20. For each YOA, provide planned quarterly expenditures, on a cumulative basis, for each quarter. *The substate grantee must plan to expend, at a minimum, 85 percent of their current year allocated resources and 100 percent of their carry-in funds (State-Imposed Requirement).*

NOTE:

- Line 15. For YOA 1997 must equal Lines 5 and 10 for YOA 1997.  
Line 19. For YOA 1998 must equal Lines 5 and 10 for YOA 1998.

Cost Compliance Plan: This section documents cost compliance planned by YOA.

Line 20. Cost category compliance requires a minimum of 50 percent of total funds available by YOA be spent on retraining services, unless you have an approved waiver.

Line 21. If you have requested a retraining waiver, enter the percentage. If you have not requested a retraining waiver, enter NO.

Line 22. Cost category compliance requires not more than 15 percent of total funds available by YOA be spent on administrative expenditures.

- **Title II Participant Plan Summary**

Program Type: Use the appropriate pre-marked page. If you are not planning to spend any 110 Title II 5 percent Incentive Grant funds for participants and are completing the forms electronically, either enter N/A on Line 1 or make a notation under comments that no participants are planned to be served with Incentive Grant funds.

Quarter Ending:

Line 1. Presents total participants.

Line 2. Enter planned number of participants to be carried into program year. This will be the same number for all four quarters beginning with the September quarter.

Line 3. Enter the estimated cumulative enrollments for each quarter beginning with the September quarter.

Outcomes:

Line 4. Presents total terminations.

Line 5. Enter the estimated cumulative Entered Unsubsidized Employment for each quarter beginning with the September quarter.

Line 6. Enter the estimated cumulative Transferred to Other JTPA Program for each quarter beginning with the September quarter.

Line 7. Enter the estimated cumulative Adult/Youth Employment Skills/PIC-Recognized Employment Competencies for each quarter beginning with the September quarter.

Line 8. Enter the estimated cumulative All Other Terminations for each quarter beginning with the September quarter.

Line 9. Presents current participants.

Additional Employment Data:

Line 10. Enter the estimated cumulative Entered Unsubsidized Employment and Obtained Employability Enhancement for each quarter beginning with the September quarter.

Line 11. Enter the estimated cumulative Women Placed in Nontraditional Jobs for each quarter beginning with the September quarter.

## Summer Youth Participant Plan Summary

### Quarter Ending:

- Line 1. Presents total participants.
- Line 2. For year-round programs, enter planned number of participants to be carried into program year. This will be the same number for all four quarters beginning with the December quarter. For non-year round programs, enter N/A in this row for each quarter.
- Line 3. Enter the estimated cumulative enrollments for each quarter beginning with the December or June quarter. For non-year round programs, there are usually no participants in the December and March quarters.

### Outcomes:

- Line 4. Presents total terminations.
- Line 5. Enter the estimated cumulative Entered Unsubsidized Employment for each quarter beginning with the December or June quarter.
- Line 6. Enter the estimated cumulative Transferred to Other JTPA Program for each quarter beginning with the December or June quarter.
- Line 7. Enter the estimated cumulative Adult/Youth Employment Skills/PIC-Recognized Employment Competencies for each quarter beginning with the December or June quarter.
- Line 8. Enter the estimated cumulative All Other Terminations for each quarter beginning with the December or June quarter.
- Line 9. Presents current participants.

### Additional Reportable Item:

- Line 10. Enter the estimated cumulative participants in Basic or Remedial Education for each quarter beginning with the December quarter.

## • Title III Participant Plan Summary (515 Formula)

### Quarter Ending:

- Line 1. Presents total participants.
- Line 2. Enter planned number of participants to be carried into program year. This will be the same number for all four quarters beginning with the September quarter.
- Line 3. Enter the estimated cumulative enrollments for each quarter beginning with the September quarter.

### Outcomes:

- Line 4. Presents total terminations.

- Line 5. Enter the estimated cumulative Entered Unsubsidized Employment (EUE) for each quarter beginning with the September quarter.
- Line 5.a. Enter the estimated cumulative EUE from Retraining for each quarter beginning with the September quarter. (This row is a subset of Line 5; therefore, it will be equal to or less than Line 5.)
- Line 5.a. (1) Enter the estimated cumulative Relocated Out of Area for each quarter beginning with the September quarter. (This row is a subset of Line 5a; therefore, it will be equal to or less than Line 5a.)
- Line 5.b. Enter the estimated cumulative EUE from Basic Readjustment for each quarter beginning with the September quarter. (This row is a subset of Line 5; therefore, it will be equal to or less than Line 5.)
- Line 6. Enter the estimated cumulative Called Back or Retained by Layoff Employer for each quarter beginning with the September quarter.
- Line 7. Enter the estimated cumulative Transferred to Other JTPA Program for each quarter beginning with the September quarter.
- Line 8. Enter the estimated cumulative All Other Terminations for each quarter beginning with the September quarter.
- Line 9. Presents current participants.

Program Activities and Services: This section shows the cumulative number of participants enrolled by program activity or service. Lines 10 through 17 do not have to add up to Line 1, June 1999. Participants may be enrolled in more than one activity during the same quarter. (NOTE: All participants must be enrolled in Basic Readjustment Services; therefore, Line 10 must equal Line 1, June 1999. Lines 11 through 17 individually may equal Line 1, June 1999, or be less than Line 1, June 1999, but not greater than Line 1 June 1999.)

End of the Program Year Performance and Cost per Information:

- Line 18. Divide the June 1999 Line 5 by the June 1999 result of Line 4 minus Line 6. Enter the percentage result. Planned EUE must be equal to or greater than your EUE for Program year 1996-1997.
- Line 19. The Planned Average Hourly Wage at Placement must be equal to or greater than your planned Title II-A adult average hourly wage at placement.
- Line 20. There is no minimum or maximum for Planned Average Cost per Participant. Each substate area must determine their own goal for this category. Divide the total planned expenditure for the program year (carry-in funds from the prior year G8 subgrant plus the planned amount of the current year G9 subgrant to be expended through June 1999) by the total number of participants from Line 1, June 1999.
- Line 21. There is no minimum or maximum for Planned Average Cost per EUE. Each substate area must determine their own goal for this category. Divide the total planned expenditure for the program year (carry-in funds from the prior year G8 subgrant plus the planned amount of the current year G9 subgrant to be expended through June 1999) by the total number of EUEs from Line 5, June 1999.

- **Available Funding Summary**

Formulas have been sheet-linked to complete these columns based on the completed budget plan summary pages.

Title II for PY 1998/1999: The summary must reflect all funding provided via subgrant from EDD and available for use during PY 1998-1999, and its planned use during this program year and the following program year(s). The core Title II fund sources are referenced, which your SDA/SSA is planning to use during PY 1998-1999. The sum of entries in columns 1+2+3 for each fund source must equal the amount in column 4, identified as Total Available. The sum of entries in columns 5+6 for each fund source must also equal the amount in column 4, identified as Total Available.

Title II for 1998 SYETP: The summary must reflect all funding provided via subgrant from EDD and available for use during 1998 SYETP, beginning 10/01/97 through 9/30/98, and its planned use during 1998 SYETP and the following SYETP(s). The sum of entries in columns 1+2+3 for SYETP must equal the amount in column 4, identified as Total Available. The sum of entries in columns 5+6 for SYETP must also equal the amount in column 4, identified as Total Available.

Title III for PY 1998/1999: The summary must reflect all funding provided via subgrant from EDD and available for use during PY 1998/1999, and its planned use during this program year and the following program year. The sum of entries in columns 2+3 for Title III must equal the amount in column 4, identified as Total Available. The sum of entries in columns 5+6 for Title III must also equal the amount in column 4, identified as Total Available.

- **Title II Proposed Distribution of Funds**

Each column has been identified by program type. Since funding levels for the YOA 1999 (G0 subgrant) are unknown at this time, please use percentages. Unless you plan to substantially change your programs, you may wish to use historical percentages.

Funding Identification:

- Line 2. 100 percent has been pre-entered for the formula allocation for the corresponding program type (grant code listed in column heading) for YOA 1999.
- Line 3. Since adjustments are unknown at this time, please leave blank.
- Line 4. Since transfer options for these funds may not yet be executed, please leave blank.
- Line 5. 100 percent has been pre-entered for the total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by percentage by JTPA Title II cost category in the YOA 1999 columns. As a reminder, there are no cost limitations for Title II 5 percent Incentive Grant funds. Line 9 must equal Line 5.

Quarterly Total Expenditure Plan:

Lines 10-21. For each Title II program type, enter the cumulative total expenditures by percentage through June 30, 2002. 100 percent has been pre-entered for Line 21.

Cost Compliance Plan: This section documents cost compliance planned by YOA.

Line 22. Cost category compliance requires a minimum of 50 percent of total funds available by YOA be spent on direct training services; however, there are no cost limitations for Title II 5 percent Incentive Grant funds.

Line 23. Cost category compliance requires not more than 20 percent of total funds available by YOA be spent on administration; however, there are no cost limitations for Title II 5 percent Incentive Grant funds.

- **Title II Proposed Distribution of Funds for Summer Youth**

The column has been identified by program type. Since funding levels for the FY YOA 1999 (G9 subgrant) are unknown at this time, please use percentages. Unless you plan to substantially change your program, you may wish to use historical percentages.

Funding Identification:

Line 2. 100 percent has been pre-entered for the formula allocation for FY YOA 1999.

Line 3. Since adjustments are unknown at this time, please leave blank.

Line 4. Since transfer options for these funds may not yet be executed, please leave blank.

Line 5. 100 percent has been pre-entered for the total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by JTPA Title II summer youth cost category in the FY YOA 1999 column. Line 8 must equal Line 5.

Quarterly Total Expenditure Plan:

Lines 9-20. For the summer youth program type, enter the cumulative total expenditures by percentage through June 30, 2002. 100 percent has been pre-entered for Line 20.

Cost Compliance Plan: This section documents cost compliance planned for FY YOA 1999.

Line 21. Cost category compliance requires a minimum of 85 percent of total funds available by FY YOA be spent on training and participant support services.

Line 22. Cost category compliance requires not more than 15 percent of total funds available by FY YOA be spent on administration.

- **Title III Proposed Distribution of Funds (515 Formula)**

The column has been identified by program type. Since funding levels for the YOA 1999 (G0 subgrant) are unknown at this time, please use percentages. Unless you plan to substantially change your program, you may wish to use historical percentages.

Funding Identification:

Line 2. 100 percent has been pre-entered for the formula allocation for YOA 1999.

Line 3. Since adjustments are unknown at this time, please leave blank.

Line 4. Since transfer options for these funds may not yet be executed, please leave blank.

Line 5. 100 percent has been pre-entered for the total funds available.

Total Allocation Cost Category Plan: Enter the total planned expenditures by JTPA Title III cost category in the YOA 1999 column. Line 10 must equal Line 5.

Quarterly Total Expenditure Plan:

Lines 11-18. For the Title III formula, enter the cumulative total expenditures by percentage through June 30, 2001. 100 percent has been pre-entered for Line 18.

Cost Compliance Plan: This section documents cost compliance planned by YOA.

Line 19. Cost category compliance requires a minimum of 50 percent of total funds available by YOA be spent on retraining services, unless you have an approved waiver.

Line 20. If you have requested a retraining waiver, enter the percentage. If you have not requested a retraining waiver, enter NO.

Line 21. Cost category compliance requires not more than 15 percent of total funds available by YOA be spent on administrative expenditures.

## **PART VI — ATTACHMENTS**

**Plan Element:** This part contains all attachments required elsewhere in the plan. It does not contain additional narrative which expands on information in other sections of the plan. Additional narrative is part of the section to which it pertains.

**Instructions:** Affix each attachment in the order indicated on the Job Training Plan Table of Contents, which immediately follows the Signature Page in the Forms Supplement.